



STATE OF WASHINGTON
DEPARTMENT OF COMMUNITY, TRADE AND ECONOMIC
DEVELOPMENT

128 – 10th Avenue SE PO Box 42525 • Olympia, Washington 98504-2525 • (360) 725-2800

November 20, 2008

Yolanda Butler, Acting Director
U.S. Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Attn: Community Services Block Grant Program
370 L'Enfant Promenade, S.W., 5th Floor West
Washington, D.C. 20447

Dear Ms. Butler:

I am pleased to submit the 2009-2010 Washington State Plan for the Community Services Block Grant (CSBG). An original and one copy are enclosed.

In accordance with the CSBG Act, Governor Gregoire has designated me to represent her in matters pertaining to CSBG. A copy of the Governor's designation letter can be found as Appendix A-1 of this plan.

If you have any questions regarding our plan or program, please contact Rick Torrance at (360) 725-2856 or richardt@cted.wa.gov.

Sincerely,

Juli Wilkerson
Director

Enclosures



**WASHINGTON STATE PLAN
FOR FEDERAL FISCAL YEARS
2009 and 2010
COMMUNITY SERVICES BLOCK GRANT (CSBG)**

Prepared by

Washington State
Department of Community, Trade and Economic Development
128 10th Avenue Southeast
Post Office Box 42525
Olympia, Washington 98504-2525

Juli Wilkerson, Director



STATE CSBG ADMINISTRATORS

COMMUNITY SERVICES BLOCK GRANT PROGRAM

STATE: State of Washington

DESIGNATED CSBG OFFICIAL: Juli Wilkerson, Director
Department of Community, Trade and Economic Development
128 10th Avenue SW
Olympia, WA 98504-2525

CONTACT PERSON ON ISSUES: Rick Torrance, CSBG Program Manager

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(360) 725-2856

DESIGNATED FISCAL OFFICER: John LaRocque, Assistant Director

(360) 725-2714

I. Federal Fiscal Year or Years Covered by this State Plan and Application

This State plan is for the Federal Fiscal Years 2009 and 2010.

II. Letter of Transmittal –

A letter of transmittal addressed to the Director of Assistance, Office of Community Services, is submitted with this plan. The Plan includes a contact person on issues related to CSBG, the designated CSBG official who is to receive the CSBG Grant Award.

III Executive Summary

A. CSBG State Legislation

Under the Omnibus Budget Reconciliation Act of 1981, the State of Washington accepted the Community Services Block Grant for the purpose of making a measurable impact on the causes and effects of poverty in our communities according to local assessments, plans and priorities. The Department of Community, Trade and Economic Development (CTED) is responsible for planning and implementing the Community Services Block Grant (CSBG) in accordance with the Revised Code of Washington 43.63A.115.

CTED developed a two-year plan for the distribution and use of CSBG funds in consultation with representatives of local Community Action Agencies and according to the provisions of Title II – Community Services Block Grant, Sec.201, reauthorization of the Community Services Block Grant Act (42 U.S.C 9901 et seq.).

The Washington State Legislature appropriated \$3 million in state general funds for the biennium 2008/2009.

B. Designation of Lead Agency

CTED has been designated by the State legislature to act as the lead agency for the administration of CSBG and Low Income Home Energy Assistance Program (LIHEAP). Governor Gregoire has designated the CTED Director as her representative in all matters related to CSBG and LIHEAP. A copy of this designation is in Appendix A-1.

C. Public Hearing Requirement not sure what the deal is with these

(1) Public Hearing

A public hearing was held October 6, 2008.

(2) Legislative Hearing: Our last hearing was November 2006. A legislative hearing will be scheduled for November, 2009.

(3) Public Inspection of State Plan: The proposed was posted on the internet, and a notice and invitation for comment published in the Washington State Register, a statewide biweekly publication distributed on the first and third Wednesday of each month. The plan was open for comment for 28 days prior to the public hearing.



IV. Statement of Federal and CSBG Assurances

See Appendix B-6.

V. The Narrative State Plan

A. Administrative Structure

(1) State Administrative Agency

- (a) The mission of CTED is to invest in Washington's communities, businesses and families to build a healthy and prosperous future.

CTED is an agency with a broad and deep scope of programs. CTED strategically invests over \$1 billion per year and provides significant skilled staff resources to local agencies and businesses in our State's communities to help them become healthy, sustainable and vital. CTED carries out our mission by doing the following:

- building local organizational capacity to plan for the future, providing key community services, and creating jobs;
- making strategic investments in community facilities, services, economic development and housing; and
- marketing the State's products for export, and the State as a good place to do business and travel.

(b) Goals and Objectives

Goal 1: Grow a diversified and sustainable economy.

Goal 2: Advance the health, safety and social well-being of families and communities.

Goal 3: Protect and enhance Washington's cultural and natural heritage.

Goal 4: Be a results-oriented, world-class agency whose leadership and vision are valued by its customers.

- (c) The Community Programs Unit takes a comprehensive approach to managing the CSBG by risk analysis, monitoring, policy development, contracts, reports, training, technical assistance and recognition of excellence in community action agencies. We examine systems for financial management, planning and evaluation, program and service delivery, human resource management, community relations, governance and performance results.

(2) Eligible Entities

Thirty-one entities are eligible for CSBG funds under the CSBG Act—30 multi-purpose. Community Action Agencies (CAAs) and one Limited Purpose Agency (LPA). Two CAAs are migrant and seasonal farmworker organizations. All of the 39 counties of the State and all of the major urban areas are covered by the state CAA network. The list of eligible entities and their service areas is found in Appendix B-1.

(3) Distribution and Allocation of Funds

(a) Planned Distribution of Funds for 2009 and 2010

- At least 90 percent of the CSBG funds appropriated to Washington State will be passed through to the 31 eligible entities.
- Five percent of the block grant will be used by CTED for administration to support agency indirect and 1.5 FTEs that work full or part time with the block grant.
 - Up to \$10,000 in CSBG administrative funds will be used to support statewide workshops for CAA professionals in the fields of Human Resource Management, Resource Development/Public Relations, Performance Management and Financial Management.
- Five percent of the block grant is a discretionary fund.
 - Up to \$210,000 of the discretionary fund will be contracted to the Washington State Community Action Partnership (WSCAP) for training, technical assistance, strategic planning, Family Development Specialist certification and internal and external communication for the community action network.
 - Up to \$100,000 of the discretionary fund will be used to support innovative projects through a competitive process. Innovative projects support the work of both individual CAAs and WSCAP to improve existing or develop new projects or services to make a difference in the lives of low income people, their communities, or local service delivery systems.
 - The remainder of the fund, if any, will support requests for additional technical assistance, training and responses to emergencies that adversely affect low income people or the communities where they live.

(b) Planned Distribution of Community Development Block Grant Public Service funds State Funds for 2009 and 2010

In addition, \$1.5 million of the Community Development Block Grant (CDBG) for Public Services will be added to the CSBG community action contracts to support direct services in 10 non-entitlement areas of the State.

(c) Planned Distribution of State Funds for 2009

Ninety-seven percent of any State General Funds appropriated to supplement CSBG will be contracted to eligible entities according to the CSBG formula. Three percent will be used to support administrative costs.

B. Description of Criteria and Distribution Formula

The allocation formulas for the 2009 and 2010 program years were set forth in an agreement between WSCAP and CTED. The following data is preliminary until the 2009 and 2010 federal funds are appropriated.

Funds will be distributed by a four-step formula in 2009 and 2010:

- 1) CTED will place all available funds, state and federal CSBG and CDBG into one pot.
- 2) CTED will allot \$120,000 to each entity as a base amount for costs of business common to all contractors. There are two exceptions: a partial base of \$30,000 is provided to the Community Action Partnership of Lewiston, Idaho to serve clients in Asotin County, Washington and the City of Seattle is served by five eligible entities who will share four base amounts, or \$480,000.



- 3) A secondary base will be distributed to service areas with more than five percent of the statewide total poverty population by dividing the percent of poverty population over five percent by .05 and multiplying by 120,000.
- 4) The remainder of the grant will be distributed according to the proportional share of low income households in the state according to 2000 census data.
- 5) CDBG funds will be segregated and allocated to non-entitlement areas based on numbers of low and moderate income households served.
- 6) State funds will be segregated and allocated according to the latest available county level poverty data.

C. Description of Distribution and Use of Restricted Funds

CSBG funds and the supplemental State funds are available to all eligible entities in the State. Community Development Block Grant (CDBG) funds are available to Community Action Agencies in non-entitlement areas, which are defined as cities or towns with populations of less than 50,000, or counties with populations of less than 200,000, or part of an urban county having a population under 50,000. Local governments in these areas will contract with Community Action Agencies.

Funds designated for eligible entities are locally used in accordance with data-driven local Community Needs Assessments done every five years with mid-course updates and CSBG Action Plans submitted to CTED biannually. Plans describe how CSBG and, as appropriate, CDBG funds fill local gaps and support local priorities and set outcome targets for services funded through the block grant and set targets for services under the 12 National Performance Indicators for CSBG.

The State issues annual contracts for CSBG funds and later extends each contract to 18 months so that, for a six-month period, two contracts overlap. CSBG funds from the first contract year must be spent entirely before any funds in the next contract can be accessed. Therefore, CTED does not plan to recapture and redistribute funds. No funds have been recaptured and redistributed since 2000, as allowed under Section 675C(a)(3) of the Act.

Appendix B-2 is a table showing the planned distribution of funds for 2009.

D. Description of Distribution and Use of Discretionary Funds

CTED plans to use discretionary funds made available from the remainder of the grant, as described in Section 675C(b) of the Act, as follows for 2009 and 2010. Up to \$210,000 each year will be contracted to WSCAP to:

- Provide board training, Results Oriented Management and Accountability (ROMA) training and training to certify and re-certify Community Action Agency staff as Family Development Specialists
- Maintain ROMA trainer certification, participate in the State Results Oriented ROMA Workgroup
- Contract for training to meet the needs of CAA Executive Directors
- Engage in strategic planning so that Community Action Agency Executive Directors have a common agenda for the network in 2009 and 2010
- Seek out and promote community action best practices

- Assist the state with technical assistance targeted at CAAs that are identified as at risk through the State's risk assessment and monitoring processes, Appendix B-5
- Strengthen relationships with state agencies that administer public services for low income people
- Coordinate with the Community Action Agency Finance Directors to strengthen their professional network and help new Finance Directors make a successful start in their positions
- Educate, advocate and market outcomes, community action success stories and poverty data through newsletters, reports, press/media relations, promotional displays and the Internet
- Produce a quarterly WSCAP Newsletter

CTED will make up to \$100,000 in CSBG discretionary funds available to eligible entities for innovative projects that improve family, agency or community outcomes under the six ROMA goals for CSBG and to further asset building activities within the State Community Action Network.

E. Description of Use of Administrative Funds

CSBG administrative funds support the costs of space, information technology, agency and division overhead, and the salaries and benefits for one full time and one part time program staff responsible for CSBG operations: contracting, planning, risk assessment, monitoring, data reporting, ROMA implementation, collaboration with WSCAP, coordination with other State agencies, and problem resolution and technical assistance for the CSBG. In addition, the fund supports its fair share of up to three other positions in fiscal management, administrative and clerical positions that directly support CSBG.

F. State Community Services Program Implementation

(1) Program Overview:

(a) The Service Delivery System

Thirty-one eligible entities submit assessments and plans to CTED biannually, with annual supplements, to describe how services for low income clients are planned, coordinated and delivered in their communities with funds made available through the block grant to alleviate emergencies and build self-sufficiency.

The local plans and assessments describe:

- The Community Action Agency (CAA) mission or purpose
- The most recent update to the local Community Needs Assessment and plan for addressing priority needs
- Service locations
- Details of activities funded under linkages
- Narrative examples of how causes or conditions of poverty are eliminated
- Examples of local innovations and local collaborations
- Descriptions of programs for youth and seniors
- Budget details—according to the nine statutory authorities for CSBG
- Outcome targets for families, agencies and communities for the contract year according to the six national ROMA goals and 12 national indicators

- Contact information for the Executive Director, Administrator, CSBG Contact, Fiscal Manager, ROMA Contact, Human Resource Director, Development Director and Board Chair
- Current list of Board members showing tripartite representation.
- Assurances regarding environmental tobacco smoke, drug-free workplace, and lobbying

Eligible entities report outcomes and client characteristics twice a year in August and February and compare actual results to the targets set in the action plans.

The entire State is covered by our 31 eligible entities. A list of eligible entities (grantees) and service areas appears in Appendix B-1.

(b) Linkages

Linkages developed by local entities fill identified gaps in services, through the provision of transportation and information and referral services for clients; through community collaboration and planning for resource development; and by acting as agents, mentors or sponsors for small or start-up nonprofit and faith-based organizations until they are fiscally and administratively sound enough to stand on their own.

- All CAAs in Washington State provide information and referral to community resources.
- All CAAs in Washington State have at least one Family Development Specialist who provides self-sufficiency directed case management and coordination with other essential services in the local area.
- Funding for linkages enables CAAs to partner collaborative case-staffing with partners and to participate in WorkFirst Local Area Planning, HUD Continuum of Care planning and the Ten Year Plan to End homelessness as well as other local collaborations for funding education, housing, nutrition, employment, health and other human services. Some of the CAAs are collocated at the WorkSource Centers that offer one-stop services for clients seeking employment.
- Seventeen CAAs operate transportation programs that link clients to jobs and services.
- Seven CAAs will act as regional lead agencies for a Community Voice Mail (CVM) network that provides voice messaging to clients who do not have phone service and transfer to the Washington Telephone Assistance Program (WTAP) at the appropriate time. CVM is truly a grass roots organization. Built on linkages, with 360 partners distributing voice mailboxes, including local offices of the State Department of Social and Health Services and the WorkSource one-stop centers.

(c) Coordination with Other Public and Private Resources

- CSBG funds are coordinated with CDBG Public Services funds through local governments in non-entitlement areas of the State.
- The Managing Director of the Community Programs Unit at CTED coordinates a "CAPS Matter" initiative, which brings together all of the programs in the agency contracting with CAAs for training, planning, information sharing and problem solving.
- The block grant enables the State network to mobilize additional resources and deploy them according to local plans that strike at the causes of poverty and ameliorate its effects, such as seed money given by the State legislature to expand asset building activities or funding for communities to plan to end chronic homelessness.



- CAAs coordinate in communities through subcontracting with other community and faith-based organizations for an array of services managing approximately 500 sub-contracts each year and almost 1,000 agreements with other organizations..
- Twenty-seven CAAs are contractors for the Low Income Home Energy Assistance Program (LIHEAP).
- Twenty-three CAAs weatherize homes for energy efficiency.
- Seventeen CAAs are lead agencies for the State Emergency Shelter Assistance program.
- Fifteen CAAs contract for State Transitional Housing Operating and Rent (THOR) funds.
- Fourteen CAAs are lead agencies for the State Emergency Food Assistance Program.
- Four CAAs act as lead agency for the WorkFirst Community Jobs employment program and seven subcontract to provide Community Jobs services.
- Three CAAs are lead agencies and three are subcontractors for the State Early Childhood Education and Assistance Program and four deliver quality Head Start services in their local areas.

(d) Innovative Community and Neighborhood-based Initiatives

CAAs use block grant funds to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG by writing grant proposals, collaborating with other faith-based and community-based organizations, mentoring start up service organizations and participating in various local planning efforts.

In 2005, CTED began using discretionary funds to promote innovative projects¹⁰. Community Action Agencies have the opportunity to apply for additional funding in order to implement programs or services that offer innovative solutions to aspects of poverty. In 2006, a review panel chose five programs from the proposals submitted, awarding a total of \$75,000. Funding for this effort expanded to \$100,000 in 2007. Community Action Agencies again had the opportunity to propose one-year projects that create meaningful change for individuals and families through innovative services. They were also encouraged to design two-year projects that address root causes of poverty, analyze current systems that contribute to poverty, and propose systems change to reduce or eliminate barriers to self-sufficiency.

The winners of the 2007 CSBG Innovation Fund grant were:

- **Coastal Community Action Program** --\$20,000 for its alternative lending program in Grays Harbor and Pacific counties. Local media contact: Craig Dublanko, 360.533.5100 ext. 126.
- **Solid Ground (Formerly Fremont Public Association)** --\$17,500 for its “Apple Corps Pilot Project” that is a school-based nutrition, health and fitness curriculum in six elementary schools in Seattle. Local media contact: Paul Haas, 206.694.6803.
- **Skagit County Community Action Program** --\$19,528 to help the Skagit Food Share Alliance Project that supports local agriculture by paying farmers to grow crops for food banks and hot meals programs. Local media contact: Arielle Stein, 360.416.7585.

- **Seattle Conservation Corps (City of Seattle)** --\$16,000 for a pilot project to train Seattle Conservation Corps clients in housing deconstruction and marketing of salvaged building material. Local media contact: Cathie Andersen, 206.684.0190.
- **Pierce County Department of Community Services** -- \$8,667 for its “Tax Credit Roadshow” that provide free tax preparation in five underserved communities. Local media contact: Cindy Gorgas, 253.798.2714.
- **Snohomish County Human Services** -- \$18,305 for its “Greater Darrington Outreach & Clean Air Initiative” that targets low-income households with wood stove replacements to help clean up poor air quality. Local contact: Bill Beuscher, 425.388.7244.

(2) Community Needs Assessment (CNA)

The State requires a community action assessment and plan from each eligible entity as a condition of funding. Local CSBG plans may be coordinated with community needs assessments conducted by other organizations or programs. Plans must be produced every five years in writing and updated every two or three years. As a condition of funding, CAAs must describe the methodology of the needs assessment; the five highest priorities for community services; and how CSBG funds will be used to support the priority needs identified.

(3) Tripartite Boards

The State contract terms and conditions that govern the use of CSBG funds specify that, in accordance with Section 676B of the Act, for an entity to be eligible for the purposes of the Community Services Block Grant, it must be governed by a tripartite board, whose members are chosen in accordance with democratic selection procedures to assure that not fewer than one-third of its members are representative of low income individuals and families in the neighborhood served; reside in the neighborhood served; and are able to participate actively in the development, planning, implementation, and evaluation of the program to serve low income communities.

The State requires that a nonprofit agency board have a minimum of nine members and the board of a public CAA have at least six members unless a waiver has been granted. The four eligible entities in the State that are public sector organizations must establish tripartite advisory boards for purposes of advocacy, planning and priority setting, and evaluation of outcomes according to ROMA principles.

The State monitors one-third of the Community Action Agencies for compliance each year. Staff attend board meetings and review board rosters, at least 18-months of board minutes, board packets and bylaws. Corrective Action is requested whenever a board is not in compliance with the CSBG Act. The State follows up to be certain corrective action has been taken.

(4) State Charity Tax Program:

There is no State charity tax program for public services in effect in Washington State at this time.

(5) Programmatic Assurances

(a) Assurance '676(b)(1):

Funds made available through the grant or allotment will be used:

(1) To support activities that are designed to assist low income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low income individuals and families to enable families and individuals to:

- (i) *remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);*
- (ii) *secure and retain meaningful employment;*
- (iii) *attain an adequate education, with particular attention toward improving literacy skills of low income families in the communities involved, which may include carrying out family literacy initiatives;*
- (iv) *make better use of available income;*
- (v) *obtain and maintain adequate housing and a suitable living environment;*
- (vi) *obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and*
- (vii) *achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.*

(2) To address the needs of youth in low income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs.

(3) To make more effective use of, and to coordinate with other programs (including State welfare reform efforts).

Implementation of Assurance 676(b)(1)

1. 25 agencies help low income people who are unemployed to obtain jobs. 20 agencies partner with the local area planning partnerships designated for WorkFirst, the State's TANF program, to assist TANF clients to obtain employment. 14 agencies offer post employment services.
2. 15 agencies offer services to help clients use income more effectively.

3. 24 agencies help clients obtain transitional or permanent housing.
4. 11 agencies help clients to start Individual Development Accounts
5. 25 agencies offer emergency food and 24 offer emergency shelter services.
6. With few exceptions, eligible entities engage in local Continuum of Care planning processes that establish priorities for HUD funding.
7. 12 CAAs provide special services to address the academic or social skills needed for success in school.
8. Seven CAAs deliver Community Voice Mail services to provide a lifeline for low income people without telephones in coordination with the Washington State Telephone Assistance Program (WTAP).

b) Assurance '676(b)(4):

Eligible entities in the State will provide for, on an emergency basis, the provision of such supplies and services, nutritious foods, and related services as may be necessary to counteract conditions of starvation and malnutrition among low income individuals.

Implementation of Assurance 676(b)(4)

22 CAAs are engaged in the Emergency Food Assistance Program system of coordination, storage, transportation and distribution of food through community food banks.

(c) State Assurance '676(b)(5):

The eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low income individuals and to avoid duplication of such services. The State and the eligible entities will coordinate the provision of employment and training activities in communities, with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

Implementation of Assurance 676(b)(5)

1. The WorkFirst (state TANF) Community Jobs program is in the same organizational division as CSBG. The Assistant Director sits on both the policy and operational levels of the interagency management teams for WorkFirst (CTED, Departments of Social and Health Services and Employment Security, the State Board for Community and Technical Colleges).
2. Many Community Action Agencies are co-located in the local Workforce Investment Act (WIA) one-stop centers, WorkSource Centers to coordinate employment, education, health, and housing services for clients with multiple needs.
3. Washington State has fully implemented a new Family, Agency and Community System (WA FACS) of reporting for CSBG, all eligible entities will be required to report twice a year on how they have collaborated with non-profits, faith-based, business, educational, tribal and governmental organizations to improve service delivery and efficiency.
4. CTED administers other programs that are accessed by Community Action Agencies, their clients or their partners in communities: the Housing Trust Fund; the Public Works Trust Fund; the State Emergency Shelter Assistance, Emergency Food Assistance, Early Childhood Education and Assistance Program, and Community Jobs; federal CDBG; LIHEAP, Weatherization and Minor Home Repair; and mixed funding for senior services, prevention of domestic violence and substance abuse prevention. The agency is the primary funder and coordinator of economic development and community revitalization activities as well. This

enables CTED to coordinate on monitoring, technical assistance and information sharing to maximize impact of our funds, remain accountable and help CAAs succeed.

(d) Assurance 676(b)(6):

The State will ensure coordination between anti-poverty programs in each community and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such communities.

Implementation of Assurance 676(b)(6)

1. 27 Community Action Agencies receive LIHEAP funding. CSBG, LIHEAP, the Emergency Food Assistance Program, Community Voice Mail and Medicaid funded Long-Term Care Ombudsman are in the same organizational unit. Program staff plan together, communicate frequently and share monitoring responsibilities when programmatically feasible.
2. Community Action Agencies that are Weatherization providers receive 15 percent of the State's LIHEAP allocation. Those funds are coordinated with Weatherization funds for services. (Check with LIHEAP)
3. Externally, CSBG and Weatherization managers and staff work closely with WSCAP to coordinate information. Internally, managers and staff meet to discuss ROMA, monitoring issues, and changes in program requirements.
4. The Community Services Division assistant director sits on the interagency Management Team (Departments of Social and Health Services and Employment Security and the State Board of Community and Technical Colleges) that directs WorkFirst (TANF) policy.
5. 24 Community Action Agencies offer emergency shelter services and 16 act as lead agencies for the State Emergency Food Assistance Program.
6. 7 CAAs deliver Community Voice Mail services to provide a lifeline for low income people without telephones in coordination with the Washington State Telephone Assistance Program (WTAP).

Assurance 676(b)(9): The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low income residents of the communities and members of the groups served by the State, including faith-based organizations, charitable groups, and community organizations.

Implementation of Assurance 676(b)(6)

- All CAAs participate in the 10-year plan to end homelessness at some level. Seventeen CAAs serve in a leadership role and act as lead agencies for the State Emergency Shelter Assistance Program. Lead agencies subcontract with local community-based and faith-based organizations—contracting, monitoring, managing fiscal operations and providing technical assistance. These seventeen CAAs actively participate and hold positions on the board of the Washington State Coalition for the Homeless, which works strategically with faith-based organizations statewide to advocate for, coordinate, and improve and report on the conditions of homeless persons and their housing and service needs
- The Washington State Community Action Partnership works closely with CTED and collaborates with United Way, the Washington State Departments of Social and Health Services and Corrections.

G. *Fiscal Controls and Monitoring*

(1) *State Program Monitoring*

(a) The State commits to conduct a full onsite review of each such entity at least once during each three-year period.

The state achieved 100 percent of its goal of monitoring every eligible entity at least once every three years, monitoring twenty-one Community Action Agencies in 2007 and 2008. CTED intends to achieve 100 percent of our goal in 2009 and 2010.

CSBG staff conduct in-depth risk assessments of the 31 eligible entities, which rollover from year to year so that we can track organizational changes over time. Risk assessments are updated during the CSBG contracting process; after monitoring or desk monitoring; after fiscal year and contract closeout and in coordination with other CTED managed grant programs. Based upon risk, CTED increases monitoring frequency.

The purpose of CSBG monitoring is to provide a comprehensive review of Community Action Agencies that considers: financial management; program planning and evaluation; service standards and practices, human resources management, community relations and governance. We look beyond risk into the quality of the whole organizations.

Guiding Principles

- CSBG monitoring is concerned with the well-being of the entire agency and how the agency operates within the community.
- Monitoring and technical assistance are conducted in a professional manner with consistency, clarity, respect, timeliness and two-way communication.
- Monitoring is consistent with the CSBG State Plan and contract requirements.
- Monitoring serves as a two-way educational experience that promotes interaction, feedback, and State and local program improvements.
- CTED staff acknowledge and share successes, innovations, good practices, and experiences.
- Program monitoring, technical assistance, and required follow up to findings are structured to protect the integrity of CSBG and to sustain program support.
- Every monitoring visit is a learning experience for CTED staff and the CAA.

CSBG Monitoring Tools and Equipment

- Washington State Community Action Agency Scale of Agency Well-Being
- CSBG Monitoring Tool
- CSBG Monitoring Report
- CSBG Risk Assessment

A list of eligible entities scheduled to be monitored in FFY 2009 and 2010 is included as Appendix B-3.

(b) All communities in the State of Washington are receiving services under the block grant at this time.

CTED is not planning to designate any new organizations.



(c) ***Follow up reviews*** are conducted for eligible entities that fail to meet the goals, standards, and state and federal requirements by requesting further documentation; conducting return visits; collaborating with monitors for other CTED programs who have an interest in the CAA; and cooperating with WSCAP for peer review and technical assistance.

Peer assistance from CAA Fiscal Directors is a best practice for Washington State. Through the professional association of CAA Chief Financial officers, technical assistance is offered to new Fiscal Directors and to CAAs that have financial management questions or concerns. The Fiscal Directors meet quarterly and sponsor training on the OMB Circulars every other year and advise the State on financial matters related to CSBG.

(d) ***A risk analysis of each CAA is conducted annually*** and updated on an ongoing basis. CAAs with a high level of risk are added to the monitoring schedule for the year.

(e) ***Each eligible entity must submit an annual audit to CTED*** no later than nine months after the end of the contractor's fiscal year(s). CTED's Audit Manager issues a quarterly Audit Tracking Report on the status of all audits due. No audits are overdue at this time.

(2) Corrective Action, Termination and Reduction of Funding:

If, according to Section 678C of the Act, CTED determines an eligible entity to be out of compliance with contractual agreements, OMB Circulars, the State Plan, or the CSBG Act, it shall:

- notify the contractor of the issues immediately and follow up with a written request for a corrective action plan within a reasonable time, usually 30 days;
- provide or arrange technical assistance to assist the contractor to successfully bring the agency, board, or program back into compliance status;
- not later than 30 days after receiving a proposed corrective action plan from an eligible entity, either approve the proposed plan or specify the reasons why the proposed plan cannot be approved;
- conduct follow-up monitoring visits, or documentary evidence will be required to ensure corrective action has been taken and the issues have been satisfactorily resolved; and
- notify the contractor in writing when the corrective action process is ended.

CTED may initiate proceedings to terminate the designation of an eligible entity or reduce funding unless the entity corrects the deficiency. CTED will take into account the seriousness of the deficiency, the feasibility of all corrective action plans, and the time reasonably required to correct the deficiency. Action to suspend, reduce, or terminate funding to an eligible entity will not be taken without first corresponding with the eligible entity's governing board specifying the cause of such suspension, reduction, or termination and the required corrective action.

CTED will notify WSCAP and request assistance before taking formal action to restrict CSBG resources or to terminate funding.

Appeal

The contractor may appeal any substantive decision that is believed to be unfair or unreasonable to the CTED agency Director.

Hearing

The State shall not initiate proceedings to terminate the designation of an eligible entity without providing adequate notice to the eligible entity and an opportunity for hearing.

Review

A determination to terminate the designation or reduce the funding of an eligible entity will be reviewed by the Office of Community Services (OCS). The review will be completed not later than 90 days after the Secretary receives from the State all necessary documentation relating to the determination to terminate the designation or reduce the funding. If the review is not completed within 90 days, the determination of the State shall become final at the end of the 90th day.

Direct Assistance

Whenever a State incorrectly terminates or reduces the funding of an eligible entity prior to the completion of the State hearing, the OCS Secretary is authorized to provide financial assistance under this subtitle to the eligible entity affected until the violation is corrected. In such a case, the grant or allotment for the State under section 675(A) or 675(B) for the earliest appropriate fiscal year shall be reduced by an amount equal to the funds provided under this subsection to such eligible entity.

Termination

If termination is warranted, CTED will identify a successor agency, consistent with the requirements of Section 678C of the Act, in consultation with affected local governments, representatives of the current recipient agency, other relevant service contractors and the low-income community.

(3) Fiscal Controls, Audits, and Withholding:

(a) The assurance 676(b)(7):

The State will permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act.

Implementation of Assurance 676(b)(7)

The State agrees that it will permit and cooperate with any and all Federal investigations conducted in accordance with the CSBG Act. CTED cooperated with both the Department of Health and Human Services Program Implementation Review and the U.S. Government Accountability Office Review of CSBG last year.

(b) The assurance '676(b)(8):

Any eligible entity in the State that received funding in the previous federal fiscal year through a Community Services Block Grant under the community services block grant program will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a

hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act.

Implementation of Assurance 676(b)(8)

That State agrees that all eligible entities in the State will receive present and future funding based on their proportional share, according to formula distribution unless after notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the OCS Secretary as provided in Section 678C(b) of the Act.

(c) *The assurance '676(b)(10)*

The State will require each eligible entity in the State to establish procedures under which a low income individual, community organization, or faith-based organization, or representative of low income individuals that considers its organization, or low income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.

Implementation of Assurance 676(b)(10)

All eligible entities are required to have procedures in their bylaws for low income individuals, community organizations, or faith-based organizations or their representatives, to petition for adequate representation if they consider themselves or their constituents to be inadequately represented on the board. CTED monitors this to be certain of full compliance.

CTED distributed IM-82 to all CAA Executive Directors and key staff. WSCAP makes several versions of board training available to CAAs.

H. Accountability and Reporting Requirements

(1) Results Oriented Management And Accountability (ROMA):

The State, the Washington State Community Action Partnership (WSCAP) and all eligible entities have adopted ROMA principles and have fully implemented reporting. All 31 agencies reported under the 12 National Performance Indicators (NPI) in 2007. The State ROMA Advisory Group remains committed to measuring family, agency and community outcomes through the WA-FACS.

- Eligible entities measure performance in self-sufficiency by assessing family well-being and documenting progress toward self-sufficiency through the Family Development Matrix developed by WSCAP and certified Family Development Specialists, or a similar scale. Additional indicators are in place to measure client progress in employment, money management, housing, education, health and emergency situations.
- CTED measures compliance and quality of the 31 eligible entities through risk assessment and monitoring.

(2) Annual Report: Section 678E(a)(2)

The State will prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities. This report will include at a minimum information that is pertinent and comprehensive that describes in detail CSBG activities

and services, as well as outcomes that measure how CSBG funds were used to promote self-sufficiency, family stability, and community revitalization.

(a) *Performance Objectives*

CSBG services and activities and outcome measurements for 2007 were:

Working through a network of Community Action Agencies and other neighborhood-based organizations, Washington State has endeavored to reduce poverty, revitalize low income communities, and empower low income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off public assistance).

(3) Major Accomplishments for 2007 and 2008:

1. Washington State continued ROMA Training and reported under the 12 NPI.
2. Relationships between CTED and WSCAP were strengthened.
3. Two State CSBG staff became certified ROMA trainers.
4. CTED managers and staff from all of the programs that contract with CAAs continue to meet and work on problems together.
5. CTED further improved annual CSBG assessment processes to align with best practices from other states and with the Agency-Scale of Well-being and tightened the ties between monitoring and risk assessment.

(b) *Program Accomplishments and Activities*

The Community Services Block Grant funds the central management and core activities of a statewide network of 31 Community Action Agencies. The block grant enables the network to mobilize additional resources to address the causes and effects of poverty and to deploy them according to local plans that strike at the causes of poverty and ameliorate its effects. In 2007, \$7,746,284 leveraged \$274,002,894 in other resources:

- \$122,437,984 in other federal funds,
- \$66,235,233 in State funding;
- \$27,942,176 in local public resources ;
- \$57,387,501 in private resources; and
- 1,356,685 volunteer hours valued at \$7,936,607 at the federal minimum wage.

(c) *Comparison of Planned and Actual Expenditures for Prior Fiscal Year*

(1) Planned Distribution of Funds to Eligible Entities (as shown in previous State plan) vs. Actual Expenditures:

Funds were used as planned with minor budget adjustments to move funds between statutory categories according to local supply demand. No funds were recaptured and redistributed.

(2) Planned distribution of funds for discretionary purposes (as shown in previous State plan) vs. actual expenditures:



The planned use of CSBG discretionary funds were:

- a. At least \$160,000 of the discretionary fund will be contracted to the Washington State Community Action Partnership (WSCAP) for training, technical assistance, strategic planning, Family Development Specialist certification and internal and external communication for the community action network.
- b. Up to \$100,000 of the discretionary fund will be used to support innovative projects through a competitive process. Innovative projects support the work of both individual CAAs and WSCAP to improve existing or develop new projects or services to make a difference in the lives of low income people, their communities, or local service delivery systems.
- c. The remainder of the fund, if any, will support requests for additional technical assistance, training and responses to emergencies that adversely affect low income

Actual expenditures for 2007 discretionary funds were:

WSCAP Training, Technical Assistance, Strategic Planning, Family Development Specialist Certification, and internal and external communication for the community action network	\$160,000
Management Development Training	\$50,000
Innovation	\$100,000
Pass through	\$63,814
Total*	\$373,814

(3) Planned Use of Funds for State Administration (as shown in previous State plan) vs. Actual Expenditures:

CTED has always planned and used CSBG administrative funds to support salaries, benefits, travel, staff development, space and equipment costs for one full time and one part time program staff responsible for CSBG operations: contracting, planning, data reporting, ROMA implementation, monitoring, networking, equipment problem resolution and technical assistance so that obligations under the CSBG Act are met. The fund partially supports up to seven administrative positions and covers its share of agency wide administrative costs through an indirect rate and direct charges.

(d) Profile of Participants Served (Number and characteristics of clients served)

In 2007 eligible entities served 742,337 persons in 243,287 families.

- 40 percent were under the age of 18
- 30 percent had less than a high school education

- 72 percent of those surveyed had no health insurance
- 58 percent of families surveyed reported employment income

(e) Statistical Report on CSBG Program Services

Goal	Measure	Agencies Reporting Outcomes	Clients Achieving Goal
Self Sufficiency	Unemployed and obtained a Job	25	2,575
	Achieved “Living Wage” employment	14	646
	Obtained skills needed for employment	18	4,887
	Completed post-secondary education	14	170
	Completed ABE/GED	21	3,466
	Demonstrated ability to complete and maintain a budget	15	1,126
	Opening IDA	11	352
Community	Safe and affordable housing units created	8	868
	Accessible and affordable healthcare	5	294
	Accessible transportation options	8	60,227 (opportunities created)
Emergency Services	Emergency food assistance	25	216,292
	Temporary Shelter	24	5,760

	Protection from violence	11	1,485
Family Development	Infant and child nutrition improved	15	23,331
	Youth develop school readiness skills	15	5,218
	Youth improve social/emotional development	13	3,309
	Adults exhibit improved family functioning skills	17	7,003

(f) Training and Technical Assistance Provided by the State

1. The State CSBG office views technical assistance as a critical part of CSBG monitoring. Staff monitored 11 agencies in 2007 and provided assistance on governance, housing projects, reporting and finance.
2. CSBG staff read daily digests from NASCSP and the National Community Action Partnership, as well as information from other sources and distribute customized information to eligible entities.
3. With the mentorship of Bob Swanson and Dan Jordan, CTED staff Rick Torrance and Danny Stokley became certified ROMA trainers, delivering two trainings in 2007.
4. CTED provided increased technical assistance with NPI reporting in 2006-2007. CTED analyzed agency NPI reports closely, and contacted CAAs about any anomalies. CTED also delivered two trainings designed to improve NPI reporting (a west side training in Olympia and an eastside training in Spokane).

VI. APPENDICES

- A-1 Update Dates Letter designating the CTED Director, Juli Wilkerson as the representative of Governor Gregoire in all matters related to CSBG and LIHEAP.
- A-2 Documentation of public hearing
- A-3 Documentation of legislative hearing
- A-4 Changes made to the Washington State Plan Federal Fiscal Years 2007 and 2008, Community Services Block Grant (CSBG)

- B-1 List of eligible entities and their service areas
- B-2 Planned distribution of funds for FFY 2009
- B-3 List of eligible entities scheduled to be monitored in 2008 and 2009
- B-5 CSBG Risk Assessment Tool
- B-6 Assurances
- B-7 Certifications

APPENDIX A-1: DESIGNATION LETTER

A copy of the letter designating the CTED Director, Juli Wilkerson as the representative of Governor Gregoire in all matters related to CSBG and LIHEAP is enclosed.

APPENDIX A-2: DOCUMENTATION OF PUBLIC HEARING

CSBG State Plan Public Hearing

October 6, 2008

Opening Statement

I now call this Hearing to order.

Good afternoon. My name is Rick Torrance. I represent the Department of Community, Trade and Economic Development. Please fill out the sign-in sheet located at the back of the room, even if you do not plan to make comments

For the record, this hearing is being held, Monday October 6, 2008, at the Davis Williams Building 2nd floor conference room at 2 PM to receive comments on the Washington State CSBG Application and Plan. This program is funded by the U.S. Department of Health and Human Services, Administration for Children and Families, Office of Community Services and is administered by the Department of Community, Trade and Economic Development and its contractors.

This hearing is being conducted in compliance with the 1998 CSBG Reauthorization of Public Law 105-285, Section 676(4)(2)(3). The final plan will be submitted to the Department of Health and Human Services and will be posted on the CTED web site. The comment period officially ends October 20, 2008 at 5:00 p.m. All written comments received through this period will be transcribed and become an official part of this record.

I would also like to advise everyone that this Hearing is being recorded. The report from the Hearing will become part of the documentation of the process for the state plan.

If you would like to give a statement for the hearing record, you may do so by submitting a copy of your testimony today and/or speaking at this hearing.

If you have not signed in, please do so now and indicate whether you wish to testify.

We are now ready to take testimony from those who wish to testify. The Department will not respond to comments at this time, but we will take comments into consideration, and will summarize and respond to all comments received, in the final state plan.

Thank you for your comments. This hearing is now adjourned at 4:00 PM on October 6, 2008.

APPENDIX A-3: DOCUMENTATION OF LEGISLATIVE HEARING

CTED had a Legislative hearing in November 2006. We will schedule our next hearing for November 2009.

APPENDIX A-4: DOCUMENTATION OF CHANGES MADE TO THE CSBG STATE PLAN DURING THE EXTENDED COMMENT PERIOD.

None.

APPENDIX B-1: LIST OF ELIGIBLE ENTITIES AND THEIR SERVICE AREAS

Community Action Agency

Benton-Franklin Community Action Committee
 Blue Mountain Action Council
 Central Area Motivation Program
 Chelan-Douglas Community Action Council
 City of Seattle Department of Parks and Recreation
 Clark County, Community Services Department
 Coastal Community Action Program
 Community Action Center
 Community Action Council of Lewis, Mason & Thurston Counties
 Community Action Partnership
 El Centro de la Raza
 Solid Ground
 Hopelink
 HopeSource
 Kitsap Community Action Program
 Lower Columbia Community Action Council
 Metropolitan Development Council
 Multi-Service Center
 Neighborhood House
 North Columbia Community Action Council
 OIC of Washington
 Okanogan County Community Action Council
 Olympic Community Action Council
 Pierce County Community Services Department.
 Rural Resources Community Action
 Skagit County Community Action Agency
 Snohomish County Human Services Department
 Spokane Neighborhood Action Programs
 The Opportunity Council
 Washington Gorge Community Action
 Yakima Valley Farmworkers Clinic/Northwest Community Action Center Yakima County

Service Area

Benton and Franklin Counties
 Walla Walla, Columbia and Garfield Counties
 City of Seattle
 Chelan and Douglas counties
 City of Seattle
 Clark County
 Grays Harbor and Pacific Counties
 Whitman County
 Lewis, Mason and Thurston Counties
 Asotin County
 City of Seattle
 City of Seattle
 North and East King County
 Kittitas County
 Kitsap County
 Cowlitz and Wahkiakum Counties
 City of Tacoma
 South King County
 City of Seattle
 Grant, Adams and Lincoln Counties
 Yakima County
 Okanogan County
 Clallam and Jefferson Counties
 Pierce County
 Ferry, Stevens and Pend Oreille Counties
 Skagit County
 Snohomish County
 Spokane County
 Whatcom, Island and San Juan Counties
 Klickitat and Skamania Counties

APPENDIX B-2: PLANNED DISTRIBUTION OF FUNDS FOR FFY 2009

Community Action Agency	CSBG	CDBG	Total
Benton/Franklin Community Action Committee	\$305,231		\$305,231
Blue Mountain Action Council	\$49,665	\$132,229	\$181,894
Central Area Motivation Program	\$193,634		\$193,634
Chelan-Douglas Community Action Council	\$219,660		\$219,660
City of Seattle, Department of Parks and Recreation	\$187,288		\$187,288
Clark County, Community Services Department	\$360,044		\$360,044
Coastal Community Action Program	\$53,850	\$166,125	\$219,975
Community Action Center	\$53,519	\$125,539	\$179,058
Community Action Council of Lewis, Mason & Thurston Cos.	\$259,851	\$116,894	\$376,745
Community Action Partnership Idaho	\$14,258	\$38,429	\$52,687
El Centro de la Raza	\$176,754		\$176,754
Hopelink	\$281,096		\$281,096
HopeSource	\$51,319	\$110,229	\$161,548
Kitsap Community Resources	\$264,854		\$264,854
Lower Columbia Community Action Council	\$213,898		\$213,898
Metropolitan Development Council	\$327,288		\$327,288
Multi-Service Center	\$602,213		\$602,213
Neighborhood House	\$191,474		\$191,474
North Columbia Community Action Agency	\$85,171	\$167,844	\$253,015
OIC of Washington	\$280,789		\$280,789
Okanogan County Community Action Council	\$52,850	\$125,893	\$178,743
Olympic Community Action Programs	\$56,854	\$142,865	\$199,719
Opportunity Council	\$328,278		\$328,278
Pierce County Community Action Program	\$479,161		\$479,161
Rural Resource Community Action	\$58,841	\$132,371	\$191,212
Skagit County Community Action Agency	\$206,156		\$206,156
Snohomish County Human Services Department	\$460,252		\$460,252
Solid Ground of Washington	\$206,066		\$206,066
Spokane Neighborhood Action Programs	\$570,397		\$570,397
Washington Gorge Action Programs	\$46,706	\$105,434	\$152,140
Yakima Valley Farmworkers Clinic/NCAC	\$91,241	\$189,548	\$280,789
Totals	\$6,728,656	\$1,553,400	\$8,282,056

APPENDIX B-3: LIST OF ELIGIBLE ENTITIES SCHEDULED TO BE MONITORED IN 2009 AND 2010

CSBG Monitoring Plan

X Scheduled

Eligible Entity	2007	2008	2009	2010
Benton-Franklin Community Action Committee			X	
Blue Mountain Action Council		X		
Central Area Motivation Program			X	
Chelan-Douglas Community Action Council	X			X
City of Seattle Department of Parks and Recreation	X			X
Clark County, Community Services Department			X	
Coastal Community Action Program		X		
Community Action Center	X			X
Community Action Council of Lewis, Mason & Thurston Counties	X			X
Community Action Partnership		X		
El Centro de la Raza		X		
Solid Ground (Formerly Fremont Public Association)	X			X
Hopelink		X		
HopeSource			X	
Kitsap Community Action Program	X			X
Lower Columbia Community Action Council			X	
Metropolitan Development Council			X	
Multi-Service Center		X		
Neighborhood House		X		
North Columbia Community Action Council	X			X
OIC of Washington	X			
Okanogan County Community Action Council				
Olympic Community Action Council	X		X	
Pierce County Community Services Department.		X		
Rural Resources Community Action	X			X
Skagit County Community Action Agency			X	
Snohomish County Human Services Department			X	
Spokane Neighborhood Action Programs			X	
The Opportunity Council		X		
Washington Gorge Community Action		X		
Yakima Valley Farmworkers Clinic/Northwest Community Action Center	X			X

APPENDIX B-5: CSBG RISK ASSESSMENT TOOL

(v 3; updated 5/2006)

CSBG RISK ASSESSMENT

"Risk assessment is the process of evaluating exposure to harm or loss that could arise from some activity associated with the client service contract. It consists of identifying and classifying risks based on certain characteristics, and measuring and evaluating the consequences of these risks." (from OFM's Guide to Client Service Contracting, 12/2000, p. 10)

Name of Organization: _____

Name of Assessor(s): _____

(the lower the number, the higher the risk)

Question	Comments	1 (hi)	2	3	4	5 (low)	na
1. FINANCIAL							
a. Findings in the last audit (same audit firm used many years; same person each year; late audits).		1				5	
b. Unresolved audit findings or exception from prior years.		1				5	
c. Findings in the LIHEAP Fiscal Monitoring, or other CTED programs.		1				5	
d. Agency typically late drawing down funds (look at budget vs actual; how many days to close at end of year? How long to reconcile monthly?).		1				5	
e. Changes in key management or financial staff.		1				5	
f. Cash flow problems (no reserve funds; short-term loans; aged payables over 60 days; little CSBG used for direct; improper expenditures based on cost allocations).		1				5	
g. Donor base is shrinking.		1				5	
Totals:		7	0	0	0	35	
2. PLANNING AND EVALUATION							
a. CSBG community assessment is out of date, not appropriate in scale.		1				5	
b. Community plan lacks attention to detail--incomplete, inaccurate, no good narrative example.		1				5	
c. No strategic planning process in place (do they use policies in this?).		1				5	
d. Lack of support of ROMA concepts (no staff/bd mbr training).		1				5	

e. No ROMA tools used for planning, PR, evaluation (what do they measure on an ongoing, repeating basis-- internal, external?)		1				5	
f. No participation in service or resource planning with community partners such as HUD Continuum of Care plan).		1				5	
g. No self-assessment on a regular basis.		1				5	
h. No MIS to feed info into planning process.		1				5	
Totals:		8	0	0	0	40	
3. PROGRAMS AND SERVICES							
a. Untimely reports of services and outcomes.							
b. Services do not consistently meet grant goals.							
c. Lack of a system to evaluate and improve programs and services.							
d. No demonstrated effective or best practices.							
e. Lack of integrated management of programs/services across sites.							
f. Lack of community indicators or community outcomes to measure progress.							
g. Program(s) on probation or lost programs.							
h. Funds diminishing (local, state, federal, foundation).							
i. Funder has called for independent program audit due to poor performance or questionable practices.							
j. Non-competitive leveraging of funds.							
Totals:		0	0	0	0	0	
4. HUMAN RESOURCES							
a. Personnel policies out of date (look for whistleblower system).							
b. Little or no investment in staff development (do staff know about policies?).							
c. No succession planning of key staff.							

d. No annual performance evaluations.							
e. No cross-training of key staff.							
f. Instability among key staff--constant turnover for Executive Director, Program Managers, fiscal.							
g. No method for routinely communicating with all staff (look for how mgmt gets staff feedback).							
h. No periodic salary survey conducted.							
i. Compensation plans dissimilar to like-sized orgs in the same geographic area.							
Totals:		0	0	0	0	0	0
5. RELATIONSHIPS							
a. No participation in collaborative projects with state agencies; local governments; and non-profit or faith-based organizations that serve low-income people.							
b. Lack of advocacy/education in community for low-income.							
c. Lack of leadership by director and staff in the community (taskforce membership; organizing; donating funds and/or time).							
d. Community impact: no increase in resources or quality of services for low-income people in the community as a result of programs.							
e. Relationships with funders are not transparent and respectful.							
f. There have been complaints about the agency from customers, colleagues, staff or funders.							
Totals:		0	0	0	0	0	0
6. LEADERSHIP AND GOVERNANCE							
a. The Board is out of compliance with CSBG rules (look for tripartite structure).							
b. No written statement of qualifications for Board members.							
c. Ew/returning Board members do not receive orientation (look for job description, separation of job duties).							

d. The Board does not review or understand financial reports.							
e. The Board does not set policies to ensure the CAA is run legally, ethically and effectively.							
f. Board members/managers have received no poverty or community action training in the last 3 yrs.							
g. Board members spend no time advocating for the agency in the community.							
h. The Board fails to evaluate the Executive Director annually based on job description & performance.							
i. Exec Dir has no development plan to support growth as a leader.							
j. Bylaws do not specify term limits for Board members.							
k. Most (90 percent) board meetings do not have a quorum according to the bylaws.							
l. Members do not participate in strategic planning.							
m. Agency does not have a clear policy on conflict of interest.							
Totals:		0	0	0	0	0	
7. RESULTS							
a. No performance targets are set.							
b. Programs are not integrated.							
c. No systematic way to collect program data (targets, services, outputs, outcomes, unduplicated # of clients).							
Totals:		0	0	0	0	0	
GRAND TOTALS:		15	0	0	0	75	
				SCORE BAND (see below)			
CATEGORY	POSSIBLE RANGE	SCORE					
Financial	7-35	0					
Planning/Evaluation	8-40	0					
Programs, Services	10-50	0					
Human Resources	9-45	0					
Relationships	6-30	0					
Leadership	13-65	0					
Results	3-15	0					
GRAND TOTAL	56-280	0					

RISK FACTOR (circle one) :

SCORE BANDS:

In Crisis (156-100)

Vulnerable (101-150)

Stable (151-200)

Safe (201-230)

Thriving (231-280)

LAST CSBG MONITORING VISIT: _____

BASED ON THIS RISK ASSESSMENT, A CTED MONITORING VISIT IS
RECOMMENDED Y/N

A CTED MONITORING VISIT IS SCHEDULED FOR

COMMENTS:

date: initials:

APPENDIX B-6 ASSURANCES

Statement of Federal and CSBG Assurances

As part of the annual or biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq.) (The Act), the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act -

A. Programmatic Assurances

(1) Funds made available through this grant or allotment will be used:

- (a) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families to enable the families and individuals to:
 - (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and
- (c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [676(b)(1)]

(2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with

the community services block grant program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant program; ['676(b)(2)]

(3) To provide information provided by eligible entities in the State, including:

- (a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
- (b) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;
- (c) a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and,
- (d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the community services block grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]

(4) To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.['676(b)(4)]

(5) That the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; ['676(b)(5)]

(6) To ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities.['676(b)(6)]

(7) To permit and cooperate with Federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(7)]

(8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the community services block grant program will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act.['676(b)(8)]

(9) That the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. ['676(b)(9)]

(10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be

inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. ['676(b)(10)]

(11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (*which shall be submitted to the Secretary, at the request of the Secretary, with the State plan*) that includes a community- needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs; ['676(b)(11)]

(12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act .['676(b)(12)]

(13) To provide information describing how the State will carry out these assurances. ['676(b)(13)] **(This is the Narrative CSBG State Plan)**

B. Administrative Assurances

The State further agrees to the following, as required under the Act:

(1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the community services block grant program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]

(2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the community services block grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]

(3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the community services block grant program. ['675C (a)(3)]

(4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]

(5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]

(6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the State plan. ['676(a)(2)(B)]

- (7) That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State community services block grant program activities. ['676(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan.['676(a)(3)]
- (9) To make available for the public inspection each plan or revised State plan in such a manner as will facilitate review of and comment on the plan. ['676(e)(2)]
- (10) To conduct the following reviews of eligible entities:
- (a) full onsite review of each such entity at least once during each three-year period;
 - (b) an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the community services block grant program;]
 - (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - (d) other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the community services block grant program) terminated for cause. ['678B(a)]
- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the community services block grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:
- (a) inform the entity of the deficiency to be corrected;
 - (b) require the entity to correct the deficiency;
 - (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;
 - (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. ['678(C)(a)]
- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the community services block grant program. ['678D(a)(3)]
- (14) To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System ['678E(a)(1)].
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under '678E(a)(2) of the Act.

(16) To comply with the prohibition against use of community services block grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.

(17) To ensure that programs assisted by community services block grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [678F(b)]

(18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with community services block grant program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [678F(c)]

(19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [679]

C. Other Administrative Certifications

The State also certifies the following:

(1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of community services block grant program funds.

(2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee.. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature

Juli Wilkerson, Director



Appendix B-7: Certifications

- **Certification Regarding Lobbying**
- **Certification Regarding Drug-Free Workplace Requirements**
- **Certification Regarding Debarment, Suspension And Other Responsibility Matters**
- **Certification: Public Law 103-227, Part C, Environmental Tobacco Smoke**

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this

transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Date

Director

Title

Department of Community, Trade and Economic Development
Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

906 Columbia Street SW
Olympia, WA 98504-8350

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

Signature

Date

Director

Title

Department of Community, Trade and Economic Development
Organization

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the

method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies



available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signature

Date

Director

Title

Department of Community, Trade and Economic Development

Organization

CERTIFICATION: PUBLIC LAW 103-227, PART C, ENVIRONMENTAL TOBACCO SMOKE

P.L. 103.227, also known as the Pro-Children Act of 1994, requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by the Federal programs either directly or through States, or local government by Federal grant, contract, loan or loan guarantee.

By signing and submitting this assurance the grantee certifies that it will comply with the requirement of the Act. The grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature

Date

Director

Title

Department of Community, Trade and Economic Development
Organization